

Appln: No. 09/922,978  
Petition Dated June 18, 2004  
Reply to Office Action of May 25, 2004



YAO-3750US1

B  
Jfw

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: 09/922,978  
Applicants: Kazuhisa Yamamoto et al.  
Filed: August 6, 2001  
Title: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS  
AND METHOD OF PRODUCING OPTICAL DEVICE  
T.C./A.U.: 2828  
Examiner: Leon Scott, Jr.  
Confirmation No.: 1750  
Docket No.: YAO-3750US1

**PETITION UNDER 37 C.F.R. § 1.181**  
**FOR ACKNOWLEDGMENT OF PRIORITY DOCUMENT AND**  
**FOR CONSIDERATION OF INFORMATION DISCLOSURE STATEMENT**

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

First, this Petition is to request the issuance of a Supplemental Notice of Allowability which acknowledges receipt of Applicants' priority document. The Notice of Allowability (mailed on May 25, 2004) did not acknowledge receipt of the priority document. The priority document was filed in the parent Application No. 08/973,380 on March 16, 1998 (copy of transmittal enclosed).

Second, Applicants filed Information Disclosure Statements (IDS's) on August 6, 2001, April 25, 2003, and August 27, 2003. Copies of the IDS's, as filed, are enclosed. The IDS's, although properly filed, have not been considered.

The Examiner is respectfully requested to consider the originally filed IDS's and to return the initialed Form 1449's to the undersigned.

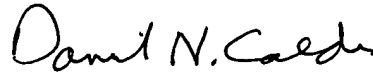
Copies of the IDS's and return postcards evidencing receipt of the IDS's by the PTO are enclosed.

Appln: No. 09/922,978  
Petition Dated June 18, 2004  
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YAO-3750US1

It is respectfully requested that issuance of the above identified application be suspended until acknowledgement of the priority documents has been made and the IDS's have been considered.

Respectfully submitted,



Daniel N. Calder, Reg. No. 27,424  
Attorney for Applicants

DNC/lcf

Attachments: Notice of Allowability;  
Copies of Information Disclosure Statements and postcards;  
Copies of Transmittal Forms and postcards from parent application

Dated: June 18, 2004

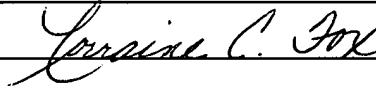
P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

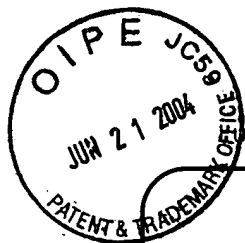
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Issue Fee, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

June 18, 2004

Lorraine C. Fox



LCF\_I:\YAO\3750US1\PETITION-01.DOC

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/922,978
Filing Date	August 6, 2001
First Named Inventor	Kazuhisa Yamamoto
Art Unit	2828
Examiner Name	Leon Scott, Jr.
Attorney Docket No.	YAO-3750US1

**ENCLOSURES (Check all that apply)**

- ☐ Fee Transmittal Form  
☐ Fee Attached
- ☐ Amendment/Reply  
☐ After Final  
☐ Affidavits/Declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/  
Incomplete Application
- ☐ Response to Missing Parts under  
37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☒ Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☐ Power of Attorney, Revocation,  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication  
to Group
- ☐ Appeal Communication to Board  
of Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply  
Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please  
identify below): Copies of  
transmittals and postcards from  
parent application; Copies of  
IDS's and postcards previously  
submitted; Copy of Notice of  
Allowability; Postcard

**Remarks:****SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm or Individual Name	Daniel N. Calder	Registration No. (Attorney/Agent)	27,424
Signature			
Date	June 18, 2004		

**CERTIFICATE OF TRANSMISSION / MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

Typed or printed name	Lorraine C. Fox		
Signature		Date	June 18, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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Address: COMMISSIONER FOR PATENTS  
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www.uspto.gov



05/25/2004

Ratner & Prestia  
P.O. Box 980  
Valley Forge, PA 19482

RECEIVED

MAY 27 2004

RatnerPrestia

EXAMINER

SCOTT JR, LEON

ART UNIT

PAPER NUMBER

2828

DATE MAILED: 05/25/2004

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/922,978	08/06/2001	Kazuhisa Yamamoto	YAO-3750US1	1750

/ TITLE OF INVENTION: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1330	\$300	\$1630	08/25/2004

15306 + pub fee (3mo)  
8/25/04/1630

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. **PROSECUTION ON THE MERITS IS CLOSED.** THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN **THREE MONTHS** FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. **THIS STATUTORY PERIOD CANNOT BE EXTENDED.** SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE REFLECTS A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE APPLIED IN THIS APPLICATION. THE PTOL-85B (OR AN EQUIVALENT) MUST BE RETURNED WITHIN THIS PERIOD EVEN IF NO FEE IS DUE OR THE APPLICATION WILL BE REGARDED AS ABANDONED.

## HOW TO REPLY TO THIS NOTICE:

## I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status is changed, pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above and notify the United States Patent and Trademark Office of the change in status, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check the box below and enclose the PUBLICATION FEE and 1/2 the ISSUE FEE shown above.

☐ Applicant claims SMALL ENTITY status.  
See 37 CFR 1.27.

II. PART B - FEE(S) TRANSMITTAL should be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). Even if the fee(s) have already been paid, Part B - Fee(s) Transmittal should be completed and returned. If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER:** Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
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Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/922,978	08/06/2001	Kazuhisa Yamamoto	YAO-3750US1	1750

7590  
Ratner & Prestia  
P.O. Box 980  
Valley Forge, PA 19482



EXAMINER

SCOTT JR, LEON

ART UNIT PAPER NUMBER

2828

DATE MAILED: 05/25/2004

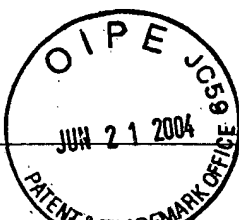
## Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 597 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 597 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) system (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (703) 305-1383. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (703) 305-8283.



# Notice of Allowability

Application No.

09/922,978

Examiner

Leon Scott, Jr.

Applicant(s)

YAMAMOTO ET AL.

Art Unit

2828

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to pre-Amend't filed 8/06/01.
2. ☒ The allowed claim(s) is/are 50-54 and 78-80.
3. ☒ The drawings filed on 06 August 2001 are accepted by the Examiner.
4. ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All b) ☐ Some\* c) ☒ None of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
6. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
  - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached  
1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
  - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☐ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

Leon Scott, Jr.  
Primary Examiner  
Art Unit 2828



# **Notice of References Cited**

Application/Control No.

09/922,978

Applicant(s)/Patent Under

Reexamination

YAMAMOTO ET AL.

Examiner

Leon Scott, Jr.

Art Unit

2828

Page 1 of 1

## **U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-6,654,529	11-2003	Kawaguchi et al.	385/122
*	B	US-6,490,309	12-2002	Okazaki et al.	372/75
*	C	US-6,333,943	12-2001	Yamamoto et al.	372/43
*	D	US-6,188,705	02-2001	Krainak et al.	372/32
*	E	US-5,615,042	03-1997	Delacourt et al.	359/338
*	F	US-5,990,925	11-1999	Sousa et al.	347/256
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

## **FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

## **NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

J-3750

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

To Be Assigned

INTERNATIONAL APPLICATION NO.

PCT/JP96/01472

INTERNATIONAL FILING DATE

30MAY96 (30.05.96)

PRIORITY DATE CLAIMED

02JUN95(02.06.95); 04JUL95(04.07.95)

TITLE OF INVENTION

OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE

APPLICANT(S) FOR DO/EO/US

Kazuhisa YAMAMOTO; Kiminori MIZUUCHI; Yasuo KITAOKA; Makoto KATO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

1. Notice Informing the Applicant of the Communication of the International Application to the Designated Offices
2. UNEXECUTED Declaration/Power of Attorney (3 pages)
3. (30) sheets of drawings
4. English Translation of Pages as Revised Under Article 34 with Argument

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) <b>To Be Assigned</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP96/01472</b>	ATTORNEY'S DOCKET NUMBER <b>YAO-3750</b>
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20. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

☒ Search Report has been prepared by the EPO or JPO ..... **\$930.00**

☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... **\$720.00**

☐ No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... **\$790.00**

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$1,070.00**

☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... **\$98.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	82 - 20 =	62	x \$22.00	<b>\$1,364.00</b>	
Independent claims	22 - 3 =	19	x \$82.00	<b>\$1,558.00</b>	
Multiple Dependent Claims (check if applicable) <input checked="" type="checkbox"/>				<b>\$270.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$4,122.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$4,122.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$4,122.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$4,122.00</b>	
				<b>Amount to be:</b>	
				<b>refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

**CALCULATIONS PTO USE ONLY**

☒ A check in the amount of **\$4,122.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **18-0350** A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Paul F. Prestia  
Ratner & Prestia  
P. O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

*Steven E. Koffs*  
SIGNATURE

Steven E. Koffs  
NAME

37,163  
REGISTRATION NUMBER

December 2, 1997  
DATE



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kazuhisa Yamamoto et al. : Art Unit:  
Serial No.: To Be Assigned : Examiner:  
Filed: Herewith :  
FOR: OPTICAL DEVICE, LASER BEAM :  
SOURCE, LASER APPARATUS AND METHOD  
OF PRODUCING OPTICAL DEVICE

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
Washington, DC 20231

S I R :

Prior to examination, please amend the above-identified application as follows:

IN THE SPECIFICATION:

After the title and before the first paragraph, please insert --THIS APPLICATION IS A U.S. NATIONAL PHASE APPLICATION OF PCT INTERNATIONAL APPLICATION PCT/JP96/01472--.

Respectfully Submitted,

Paul F. Prestia, Reg. No. 23,031  
Steven E. Koffs, Reg. No. 37,163  
Attorneys for Applicants

P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

**EXPRESS MAIL**

Mailing Label Number: EI856167136US  
Date of Deposit: December 2, 1997

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

  
Lynn Pentz



Date: December 2, 1997

Hon. Commissioner of Patents and Trademarks:

Please acknowledge receipt of the document(s) described below by imprinting the PTO "date-stamp" hereon and returning this card to the addressee indicated on the reverse side.

FILE NO. 1A0-3750 FEE DUE? (YES) NO AMT. ENC'D \$4,122

NAME Kazuhiya Yamamoto et al.

DOCUMENTS Pro form 1390 (in duplicate); English

Translation of International Application; UNCLASSIFIED Declaration (Pg A (3 pages)); (30) English Drawings; Pre-Amendment (1 page); Copy of International Publication w/ International Search Report attached; Notice Informing The Applicant of the Communication of the International Application to the Designated Offices; (1) Check Article 34 **80 PAGES** **REJECTED 02 DEC 1997**

New National Phase Application

08/973380

## TRANSMITTAL LETTER TO THE UNITED STATES

TAO-3750

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

CONCERNING A FILING UNDER 35 U.S.C. 371

08/973,380

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/JP96/01472

30 May 96 (30.05.96)

02JUN95(02.06.95);04JUL95(04.07.95)

TITLE OF INVENTION

OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE

APPLICANT(S) FOR DO/EO/US

Kazuhisa YAMAMOTO, Kiminori MIZUUCHI, Yasuo KITAOKA and Makoto KATO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

Copy of Form PCT/DO/EO/905

U.S. APPLICATION NO. (IF KNOWN SEE 37 CFR 1.5) <b>08/973,380</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP96/01472</b>	ATTORNEY'S DOCKET NUMBER <b>YAO-3750</b>
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20. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

- ☐ Search Report has been prepared by the EPO or JPO ..... **\$930.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... **\$720.00**
- No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... **\$790.00**
- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$1,070.00**
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... **\$98.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**CALCULATIONS PTO USE ONLY**

**\$0.00**

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

**\$130.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =	0	x \$22.00
Independent claims	- 3 =	0	x \$82.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>

**\$0.00**

**\$0.00**

**\$0.00**

**TOTAL OF ABOVE CALCULATIONS =**

**\$130.00**

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). ☐

**\$0.00**

**SUBTOTAL =**

**\$130.00**

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

**\$0.00**

**TOTAL NATIONAL FEE =**

**\$130.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☒

**\$40.00**

**TOTAL FEES ENCLOSED =**

**\$170.00**

**Amount to be:**

**refunded**

**\$**

**charged**

**\$**

☒ **2 checks** in the amount of **\$170.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **18-0350** A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

Andrew L. Ney  
Ratner & Prestia  
P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

**SIGNATURE**

**Andrew L. Ney**

**NAME**

**20,300**

**REGISTRATION NUMBER**

**March 16, 1998**

**DATE**



RECEIVED

MAR 23 1998

UNITED STATES PATENT & TRADEMARK OFFICE

Date: March 16, 1998

Please acknowledge receipt of the document(s) described below by imprinting the PTO "date-stamp" hereon and returning this card to the addressee indicated on the reverse side.

FILE NO. 100-3750 FEE DUE? YES NO AMT. ENC'D \$120.00 \$40.00

NAME K. Yamamoto et al

DOCUMENTS PTO 1390(a); Dec/PDA; Copy 8

form PCT/10/60/645; film 1555; Assignment;

2 checks & Certificate of Mailing

08/97 3,380 0 1 Rec'd PCT/PTO MAR 16 1998



AO-3750US1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Kazuhisa Yamamoto et al.	: Art Unit:
Serial No.:	To Be Assigned	: Examiner:
Filed:	Herewith	
For: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE		

Divisional of:

Applicant:	Kazuhisa Yamamoto et al.	: Art Unit:	2881
Serial No.:	08/973,380	: Examiner:	G. Inzirillo
Filed:	March 16, 1998	: Allowed:	June 5, 2001
For: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD OF PRODUCING OPTICAL DEVICE			

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R :


Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. Under 37 C.F.R. § 1.98(d), copies of the patents and publications are not required to be provided, because they were cited by or submitted to the Patent and Trademark Office in prior application, Serial No. 08/973,380, filed March 16, 1998, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

No fee or certification is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,

  
\_\_\_\_\_  
Andrew L. Ney, Reg. No. 20,300  
Attorney for Applicants

Enclosure: PTO Form 1449 (1 page)

Dated: August 6, 2001  
P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

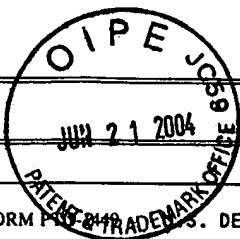
**EXPRESS MAIL**

Mailing Label Number:  
Date of Deposit:

ET548251046US  
August 6, 2001

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Kathleen Libby



FORM PTO-1449

Sheet 1 of 1

FORM PTO-1449 (Rev. 2-32) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  Information Disclosure Statement by Applicant  (Use several sheets if necessary)	ATTY. DOCKET NO. YAO-3750US1	SERIAL NO To Be Assigned
	Applicant Kazuhisa Yamamoto et al.	
	FILING DATE Herewith	GROUP

## U.S. PATENT DOCUMENTS

Exmr Initial	Document Number	Date	Name	Class	Sub Class	Filing Date
	5,452,312	9/19/95	Yamamoto et al.			
	5,295,218	3/1994	Agostinelli	385	122	
	5,133,524	5/1992	Hirota	359	115	
	4,907,238	3/1990	Chun	372	32	
	4,667,331	5/1987	Alferness	372	12	
	5,614,961	3/1993	Gibeau	348	750	

## FOREIGN PATENT DOCUMENTS

Exmr Initial	Document Number	Date	Country	Class	Sub Class	Translation YES   NO
	2-199975	8/8/90	Japan			x
	2-221995	9/4/90	Japan			x
	3-191332	8/21/91	Japan			x
	3-38984	2/20/91	Japan			x
	4-100088	4/2/92	Japan			x
	4-18823	2/17/92	Japan			x
	4-296731	10/21/92	Japan			x
	4-315120	11/6/92	Japan			x
	4-45478	2/14/92	Japan			x
	4-507299	12/17/92	Japan			x
	4-5107421	4/30/93	Japan			x
	5-173094	7/13/93	Japan			x
	5-232536	9/1993	Japan			
	61-22518	5/31/86	Japan			x
	6-148444	5-27-94	Japan			x
	62-274788	11/28/87	Japan			x
	6-265956	9/22/94	Japan			x
	6-273814	9/30/94	Japan			x
	6-350168	12/22/94	Japan			x
	7-15077	1/1995	Japan			x
	7-23329	4/25/95	Japan			x

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

1)	K. Mizuuchi et al., "Second-Harmonic Generation of Blue Light in a LiTaO <sub>3</sub> Waveguide", <u>Applied Physics Letters</u> , vol. 58, no. 24, pp. 2732-2734 (1991).
2)	International Search Report corresponding to PCT/JP96/01472 dated 10/8/96.

Examiner	Date Considered
----------	-----------------

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Date: August 6, 2001

Hon. Commissioner of Patents and Trademarks:

Please acknowledge receipt of the document(s) described below by imprinting the PTO "date-stamp" hereon and returning this card to the addressee indicated on the reverse side. J1036 U.S. PTO

FILE NO. 94-575051 FEE DUE? YES NO AMT. ENC'D \$710 09/922978

NAME Kazuhisa Yamamoto et al.

08/06/01

DOCUMENTS Certificate of Express Mailing (1 page)

Divisional Application Transmittal (3 pages including duplicate)

Preliminary Amendment (5 pages w/ figures attached)

marked with red correction; Specification (1 page)

(89 pages); Copy of DEC/PDA (3 pages); English

Translation of Pages As Revised under Article 31(8)(b);

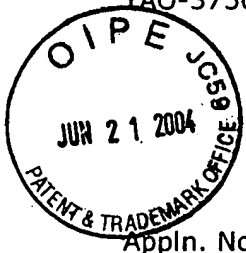
Submission of Formal Drawings (1 pg w/ 30 sheets of

Formal Drawings attached); In formal statement

(2 pages); PTO-1449 (1 page); (1) checked

**RECEIVED**  
BARNER & PRESTIA

DIV OF 08/973, 380

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: 09/922,978  
Applicant: K. Yamamoto et al.  
Filed: August 6, 2001  
Title: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD  
OF PRODUCING OPTICAL DEVICE  
TC/A.U.: 2881  
Examiner:

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, DC 20231

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. A copy of each of the listed references is also enclosed.

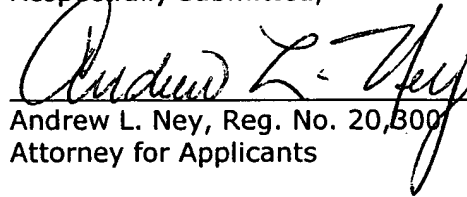
Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Reference 08-194196 is not in the English language, but an English abstract thereof is attached to the copy of the reference submitted herewith.

This Information Disclosure Statement is being filed before mailing of the first Official Action. No first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,

  
\_\_\_\_\_  
Andrew L. Ney, Reg. No. 20,800  
Attorney for Applicants

ALN/ap

Enclosures: PTO Form 1449  
(2) References  
Transmittal Form

Dated: April 25, 2003

P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on:

4/25/03  
  
\_\_\_\_\_



FORM PTO-1449

(Rev. 2-32)

U.S. DEPARTMENT OF  
COMMERCE  
PATENT AND TRADEMARK  
OFFICE

Information Disclosure  
Statement by Applicant

(Use several sheets if necessary)

ATTY. DOCKET NO.

YAO-3750US1

SERIAL NO

09/922,978

APPLICANT

K. Yamamoto et al.

FILING DATE

August 6, 2001

GROUP

2881

## U.S. PATENT DOCUMENTS

Exmr Initial		Document Number	Date	Name	Class	Sub Class	Filing Date

## FOREIGN PATENT DOCUMENTS

Exmr Initial		Document Number	Date	Country	Class	Sub Class	Translation YES   NO
		08-194196	07/30/96	Japan (w/English Abstract)			

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

		1)	"Postfabrication Changes and Dependence on Hydrogen Concentration of the Refractive Index of Proton-Exchanged Lithium Tantalate Waveguides", H. Ahlfeldt, et al. January 15, 1994, pages 717-727.

Examiner

Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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*APR 25, 2003*

20

Hon. Commissioner of Patents & Trademarks

Please acknowledge receipt of the document(s)

described below by imprinting the Patent & Trademark Office "date-stamp" hereon and returning this card to the addressee indicated on the reverse side.

FILE NO. *4A-32045* NAME *K. Yamamoto et al.*

Fee Due? YES ☒ NO ☐

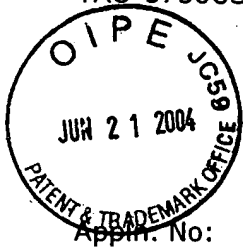
Amt. Encl. *0*

Documents:

*Supp. IDS, 1449 and 2 add.*

APR 30 2003

*09/922,928*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appn. No.: 09/922,978  
Applicant: Kazuhisa Yamamoto, et al.  
Filed: August 6, 2001  
Title: OPTICAL DEVICE, LASER BEAM SOURCE, LASER APPARATUS AND METHOD  
OF PRODUCING OPTICAL DEVICE  
TC/A.U.: 2881  
Examiner: Leon Scott, Jr.  
Conf. No.: 1750

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Reference JP 6-18823 is not in the English language, but an English translation thereof is attached to the copy of the reference submitted herewith.

This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application or before mailing of the first Official Action. No first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,

Daniel N. Calder

Daniel N. Calder (Reg. No. 27,424)  
Attorney for Applicants

DNC/vj

Enclosures: PTO Form 1449  
(4) References  
Chinese Office Action dated July 10, 2003  
Transmittal Form

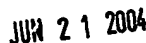
Dated: August 27, 2003

<input checked="" type="checkbox"/> P.O. Box 980 Valley Forge, PA 19482 (610) 407-0700
<input type="checkbox"/> P.O. Box 1596 Wilmington, DE 19899 (302) 778-2500

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. **18-0350** of any fees associated with this communication.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

August 27, 2003  
Alchie J. Neo



Substitute for Form 449A/PTO

**(Use as many sheets as necessary)**

**SHEET 1 of 2**

## Application Number

**09/922,978**

Filing Date

**August 6, 2001**

First Named Inventor

Kazuhisa Yamamoto, et al.

**Art Unit**

2828

**Examiner Name**

**Leon Scott, Jr.**

**Attorney Docket No.**

**YAO-3750US1**

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		JP 6-18823 U	03-11-1994			<input checked="" type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

**Examiner  
Signature**

Date  
Considered

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 If possible.

<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*



(AW 08/03)

Substitute for Form 449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 2 of 2

**Complete if Known**

Application Number	09/922,978
Filing Date	August 6, 2001
First Named Inventor	Kazuhisa Yamamoto, et al.
Art Unit	2828
Examiner Name	Leon Scott, Jr.
Attorney Docket No.	YAO-3750US1

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		Chinese Office Action dated July 10, 2003.	<input type="checkbox"/>
			<input type="checkbox"/>
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			<input type="checkbox"/>

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Date: 8/27/03

Assistant Commissioner for Patents:

Please acknowledge receipt of the document(s) described below by imprinting the Patents & Trademark Office "date-stamp" hereon and returning this card to the addressee on the reverse side.

FILE NO.: 1A0-370651 FEE DUE? YES ☒ NO ☐ AMT. ENC'D. \$ 0

NAME: Kagurisa Yamamoto, et al.

- RECEIVED**  
SEP 15 2003  
Patent & Trademark Office
- ☐ Specification (\_\_\_\_ pp.)  
☒ IDS & PTO 1449 (\_\_\_\_ pp.)  
☐ Copy of Search Report (\_\_\_\_ pp.)  
☐ Claim to Right of Priority  
☐ Response to Missing Parts  
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